



Receipt
12/24/02
P#
6

PATENT
Attorney Docket No. 52493.000163

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Jonathan BOSWELL et al.

Appln. No.: 10/028,284

Filed: December 28, 2001

)
)
)
)
)
)
)

Group Art Unit: 2161

Examiner: To Be Assigned

For: SYSTEM AND METHOD FOR PRICING OF A FINANCIAL PRODUCT OR
SERVICE USING A WATERFALL TOOL

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

**ATTN: APPLICATION PROCESSING DIVISION'S
CUSTOMER CORRECTION BRANCH**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

RECEIVED

JUN 18 2002

Technology Center 2100

Attached is a copy of the Official Filing Receipt received from the U.S. Patent and Trademark Office in the above-captioned application for which issuance of a Corrected Filing Receipt is respectfully requested. The errors on the Official Filing Receipt are highlighted on the attached copy and the correct information is indicated.

The fifth inventor's last name should be changed from "Tentio" to "Tengtio."

RECEIVED

JUN 26 2002

GROUP 3600

These corrections are not due to any errors by applicants. Therefore no fee is due. In the event any fees are due in connection with this Request, please charge such fees to the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS

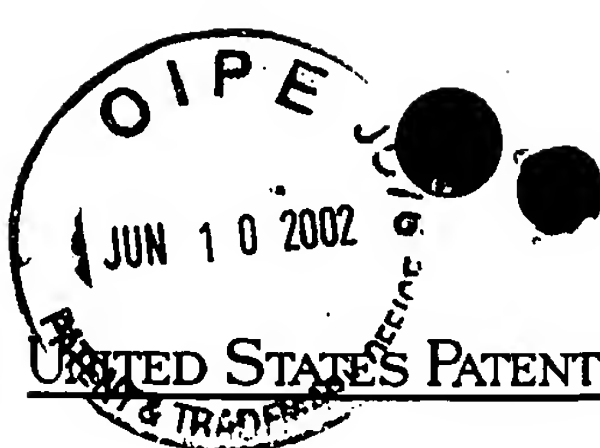
By: 

Ozzie A. Farres

Registration No. 43,606

Hunton & Williams
1900 K Street, N.W., Suite 1200
Washington, D.C. 20006-1109
Telephone (202)-955-1500
Facsimile (202)-778-2201

Date: 6/10/02



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/028,284	12/28/2001	2161	1794	52493.000163	14	62	5

CONFIRMATION NO. 2969

21967
HUNTON & WILLIAMS
INTELLECTUAL PROPERTY DEPARTMENT
1900 K STREET, N.W.
SUITE 1200
WASHINGTON, DC 20006-1109

UPDATED FILING RECEIPT



OC000000008230233

RECEIVED

JUN 1 8 2002

Technology Center 2100

Date Mailed: 06/04/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jonathan Boswell, Hunt Valley, MD;
Govind Narayan, Richmond, VA;
Dahren Grady, Hopewell Jct, NY;
Shawn Parks, Forest, VA;
Oscar ~~Tentio~~, Richmond, VA; *Tengtio*
Troy Thompson, Forest, VA;

RECEIVED

JUN 2 6 2002

GROUP 3000

Domestic Priority data as claimed by applicant

Foreign Applications

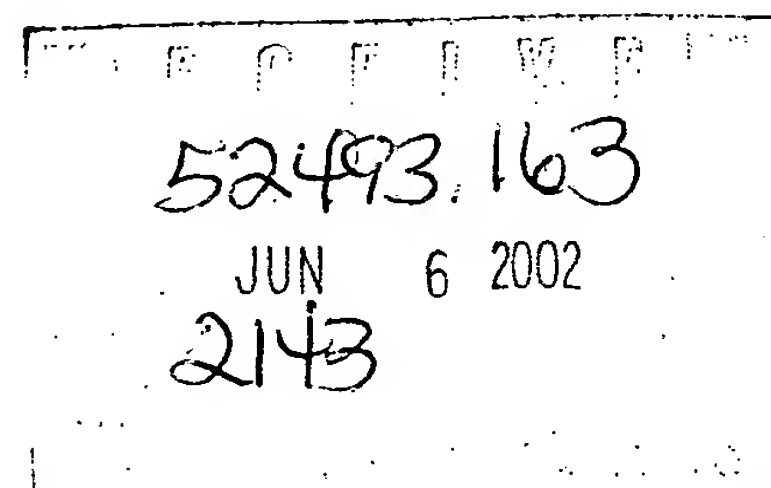
If Required, Foreign Filing License Granted 01/24/2002

Projected Publication Date: 07/03/2003

Non-Publication Request: No

Early Publication Request: No

Title



DOCKETED

6-6-02

System and method for pricing of a financial product or service using a waterfall tool

Preliminary Class

705

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).